



PTO/SB/21 (09-04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

12

Application Number

10/791,710

Filing Date

03/04/2004

First Named Inventor

Tzong-Liang Tsai

Art Unit

2818

Examiner Name

HO, TU TU V

Attorney Docket Number

UECP0013USA

ENCLOSURES (Check all that apply)

Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/
Incomplete ApplicationReply to Missing Parts
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a
Provisional ApplicationPower of Attorney, Revocation
Change of Correspondence Address

Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

☐ Landscape Table on CD

Remarks



After Allowance Communication to TC

Appeal Communication to Board
of Appeals and InterferencesAppeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify
below):1. A copy of the acknowledge
receipt of 05/05/20062. A copy of the "Request for
Deduction" submitted on
04/21/2006**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

North America Intellectual Property Corporation

Signature

Winston Hsu

Printed name

Winston Hsu

Date

JUN 16 2006

Reg. No.

41,526

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Stephanie Lai

Typed or printed name

Stephanie Lai

Date

JUN 16 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/791,710	
	Filing Date	03/04/2004	
	First Named Inventor	Tzong-Liang Tsai	
	Art Unit	2818	
	Examiner Name	HO, TU TU V	
Total Number of Pages in This Submission	8	Attorney Docket Number	UECP0013USA

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. A copy of the request letter submitted on 02/03/2005 (4 pages) 2. A copy of FEE TRANSMITTAL submitted on 02/03/2005
Remarks Request for Deduction		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	North America Intellectual Property Corporation		
Signature	<i>Winston Hsu</i>		
Printed name	Winston Hsu		
Date	4/21/2006	Reg. No.	41,526

CERTIFICATE OF TRANSMISSION/MAILING

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Signature	<i>Janice Chen</i>		
Typed or printed name	Janice Chen	Date	4/21/2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

5 Applicant: Tzong-Liang Tsai et al.
Examiner: HO, TU TU V Art Unit: 2818
App. No.: 10/791,710 Filing Date: 03/04/2004
Docket No.:UECP0013USA

10 Title: GROUP III NITRIDE SEMICONDUCTOR DEVICE AND ITS
METHOD OF MANUFACTURE

To: Commissioner for Patents
P.O. Box 1450
15 Alexandria VA 22313-1450

Subject: Status Inquiry

Dear Sir,

20

The undersigned agent received an acknowledge
receipt which indicates a refund request has been
received by USPTO (Attachment 1). But the request
submitted on 04/21/2006 is a request for deduction
25 (Attachment 2).

30

Please check it and deduct the balance \$547.00 from the
Deposit Account No. 50-3105 as soon as possible. Your quick
response will be appreciated.

Sincerely yours,

Winston Hsu

Date: JUN 16 2006

5 Winston Hsu, Patent Agent No. 41,526
P.O. BOX 506, Merrifield, VA 22116, U.S.A.
Voice Mail: 302-729-1562
Facsimile: 806-498-6673
e-mail : winstonhsu@naipo.com

10

Note: Please leave a message in my voice mail if you need to talk to me. (The time in D.C. is 12 hours behind the Taiwan time, i.e. 9 AM in D.C. = 9 PM in Taiwan.)

15

Attachment 1



UEC-13

UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

May 5, 2006

NORTH AMERICA INTELLECTUAL PROPERTY CORPORATION
P.O. BOX 506
MERRIFIELD, VA 22116
US

Dear Sir/Madam,

This is to acknowledge receipt of your refund request for 10791710 in the amount of \$547.00.

Your request has been forwarded to the Technical Center Others for review and processing.

To inquire about the status of your refund request, please call 703 308-9010 x177.

Thank you,

Technical Center Others

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Tzong-Liang Tsai et al.

5 Examiner: HO, TU TU V Art Unit: 2818
Serial No.: 10/791,710 Filing Date: 03/04/2004
Docket No.: UECPO013USA

10 Title: Group III Nitride Semiconductor Device and Its Method
of Manufacture

To: Deposit Account Branch
Commissioner for Patents
P.O. Box 1450
15 Alexandria VA 22313-1450

Subject: Request for Deduction

Dear Sir,

20

The applicant filed a Request to supplement the deficiency
of the basic filing fee and the excess claim fee pursuant to
37 CFR 1.27 (C) on 02/03/2005 (Attachment 1) and authorized
the USPTO to deduct the balance \$547.00 from the Deposit
25 Account No. 50-3105 (Attachment 2). The applicant recently
found that the USPTO did not charge any fee so far.

Please deduct the balance \$547.00 from the Deposit Account
No. 50-3105 as soon as possible. Your quick response will be
30 appreciated.

Sincerely yours,

Winston Hsu

Date: 04/21/2006

5 Winston Hsu, Patent Agent No. 41,526
P.O. BOX 506, Merrifield, VA 22116, U.S.A.
Voice Mail: 302-729-1562
Facsimile: 806-498-6673
e-mail : winstonhsu@naipo.com

10

Note: Please leave a message in my voice mail if you need to talk to me. (The time in D.C. is 12 hours behind the Taiwan time, i.e. 9 AM in D.C. = 9 PM in Taiwan.)

Attachment 1

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Tzong-Liang Tsai Examiner: Unknown
Filing Date: 03/04/2004 Art Unit: 2811
App. No. : 10/791,710 Docket No.: UECPO013USA

Title: GROUP III NITRIDE SEMICONDUCTOR DEVICE AND ITS
METHOD OF MANUFACTURE

To: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Subject: Request to supplement the deficiency of the basic
filing fee and excessive claim fee pursuant to
37 CFR 1.27(c)

Dear Sir:

The filing fee of the above-identified application was paid by Check no. 9394 in the amount \$587 on 3/4/2004, including \$385- Filing fee; \$162-Excessive claim fee; \$40- Assignment Recordation Fee (Attachment 1). But the entity status of the assignee was mistakenly selected as small entity on the fee transmittal. The entity status should be large entity. And the undersigned agent filed a Notification of loss of entitlement to small entity status according to 37 CFR 1.27 (g) (2) on 2/3/2005.

The undersigned agent hereby requests to supplement the

deficiency of the basic filing fee \$385 and the excessive claim fee \$162 pursuant to 37 CFR 1.27(c). Please deduct the balance \$547 from the deposit account 50-3015. Your assistance is highly appreciated.

Respectfully submitted,

Winston Hsu

Date: **FEB 03 2005**

Winston Hsu, Patent Agent No. 41,526

P.O. BOX 506, Merrifield, VA 22116, U.S.A.

Voice Mail: 302-729-1562

Facsimile: 806-498-6673

e-mail : winstonhsu@naipo.com

Note: Please leave a message in my voice mail if you need to talk to me. The time difference between D.C. and Taiwan is 13 hours. The preferred time period for telephone conversation is 7 AM (or earlier) - 11 AM, D.C. time.

JAN-2005 17:11 FROM UEC

TO 0289237390

P.02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

MAIL STOP - PATENT APPLICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith is a patent application under 37 CFR 1.53(b).

Inventor(s): Tzong-Liang TSAI et al.	Attorney Docket No.: 3232-9
Date Filed: March 4, 2004	Filed by: BHT/jlw
Title: GROUP III NITRIDES SEMICONDUCTOR DEVICE AND MANUFACTURING PROCESS	

Transmitted herewith for filing are the following items:

1. Transmittal cover sheet for new U.S. Patent application.
2. 21 total pages of specification (14pgs), including claims (6 pgs) and Abstract (1 pg).
3. 38 claims.
4. 6 sheets of FORMAL drawings (Figs. 1-9).
5. Combined Oath/Declaration and Power of Attorney.
6. Assignment of the invention to United Epitaxy Company, Ltd., Cover Sheet, and fee.
7. Claim to Priority with certified copy of Taiwan appl no. 092129057, filed October 20, 2003.
8. A check in the amount of \$587.00 (\$385 -Filing Fee; \$162- Excessive Claim Fee; \$40 -Assignment Recordation Fee).
9. Early Notification Serial No. Postcard.

THE FILING FEE IS CALCULATED AS FOLLOWS:				Basic Fee:	\$770.00
Total Claims:	38	- 20 =	18	X \$19 =	\$324.00
Independent Claims:	2	- 3 =	0	X \$86 =	\$0.00
Correspondence Address: TROXELL LAW OFFICE PLLC 5205 Leesburg Pike, Suite 1404 Falls Church, VA 22041				Multiple Dependent Claim (add \$290.00):	\$0.00
				Subtotal:	\$1,094.00
				50% Reduction if Small Entity Status:	\$547.00
Phone: 703-575-2711 Fax: 703-575-2707				Total:	\$547.00

The Commissioner is hereby authorized to charge any additional fees associated with this communication, including patent application filing fees and processing fees under 37 CFR 1.16 and 37 CFR 1.17 or credit any overpayment to Deposit Account No. 501874.

Date: March 4, 2004

Bruce H. Troxell
Registration No. 26,592

TROXELL LAW OFFICE PLLC
5205 LEESBURG PIKE, SUITE 1404
FALLS CHURCH, VIRGINIA 22041
TELEPHONE: (703) 575-2711
FACSIMILE: (703) 575-2707

Attachment 2

PTO/SB/17 (12-04)

Approved for use through 3/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL
For FY 2005☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 547.00**Complete if Known**

Application Number	10/791,710
Filing Date	03/04/2004
First Named Inventor	Tzong-Liang Tsai
Examiner Name	Unknown
Art Unit	2811
Attorney Docket No.	UECP0013USA

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 50-3105 Deposit Account Name: North America Intellectual Property Corp.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

Total Claims **Extra Claims** **Fee (\$)** **Fee Paid (\$)** **Multiple Dependent Claims**

- 20 or HP = _____ x _____ = _____ **Fee (\$)** **Fee Paid (\$)**

HP = highest number of total claims paid for, if greater than 20

Indep. Claims **Extra Claims** **Fee (\$)** **Fee Paid (\$)**

- 3 or HP = _____ x _____ = _____

HP = highest number of independent claims paid for, if greater than 3

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets **Extra Sheets** **Number of each additional 50 or fraction thereof** **Fee (\$)** **Fee Paid (\$)**

_____ - 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other: Supplement the deficit of the issue fee

547.00

SUBMITTED BY

Signature	<i>Winston Hsu</i>	Registration No. (Attorney/Agent)	41,526	Telephone	302-729-1562
Name (Print/Type)	Winston Hsu	Date	FEB 03 2005		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

10-JAN-2005 17:13 FROM UEC

TO 0289237390

P.04



(17)

SC 12-4-24

CLIENT: IP ENDEAVOR

Client Ref: 920028.IE1

Inventor(s): Tzong-Liang TSAI et al.	Attorney Docket No.: 3232-9
Date Filed: March 4, 2004	Filed by: BHT/jlw
Title: GROUP III NITRIDES SEMICONDUCTOR DEVICE AND MANUFACTURING PROCESS	

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3. 38 claims.
4. 6 sheets of FORMAL drawings (Figs. 1-9).
5. Combined Oath/Declaration and Power of Attorney.
6. Assignment of the invention to United Epitaxy Company, Ltd., Cover Sheet, and fee.
7. Claim to Priority with certified copy of Taiwan appl no. 092129057, filed October 20, 2003.
8. Check no. 9354 in the amount of \$587.00 (\$385 -Filing Fee; \$162- Excessive Claim Fee; \$40 -Assignment Recordation Fee).
9. Early Notification Serial No. Postcard.

Receipt is hereby acknowledged by the U.S. Patent & Trademark Office of the above-identified papers.

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